

0445.3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



APPLICANTS: James W. Klett, et al. DOCKET NO.: 0445.3  
SERIAL NO.: 09/489,640 ART UNIT: 1771 #8  
FILED: January 24, 2000 EXAMINER:  
TITLE: Pitch-Based Carbon Foam Heat Sink With Phase Change Material

FOURTH REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner of Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Sir:

Attached hereto is a copy of the official filing receipt received from the USPTO in the above identified patent application. There is an error with respect to inconsistent data with PTO records. The Continuing Data as Claimed by Applicant should read:

**THIS APPLICATION IS A CON OF 09/093,406 06/08/1998 PAT 6,037,032**

**WHICH IS A CIP OF 08/921,875 09/02/1997 PAT 6,033,506**

**AND A CIP OF 08/923,877 09/02/1997 ABN**

**AND A CIP OF 09/337,027 06/25/1999**

**WHICH IS A CON OF 08/921,875 09/02/1997 PAT 6,033,506**

**AND A CIP OF 09/136,596 08/19/1998**

**WHICH IS A DIV OF 08/921,875 09/02/1997 PAT 6,033,506**

Applicant respectfully requests the issuance of a corrected filing receipt.

Respectfully Submitted,

Vincent A. Branton, Attorney for Applicants  
Reg. No. 39,120  
UT-Battelle, LLC  
Post Office Box 2008  
Oak Ridge, Tennessee 37831-6498  
(865)574-2222

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YAB

FEB 19 2002

## CORRECTED FILING RECEIPT



OC00000005263313

UNITED STATES DEPARTMENT OF  
COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/489,640	01/24/2000	1771	1854	6321-157	13	76	5

J A Marasco  
 Lockheed Martin Energy Research Corporation  
 P O Box 2009  
 Oak Ridge, TN 37831-8243

Date Mailed: 07/24/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

James W Klett, Knoxville, TN ;  
 Timothy D Burchell, Oak Ridge, TN ;

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 AND (SAID 08/923,877 09/02/1997) → DELETE  
 IS A CIP OF 09/136,596 08/19/1998  
 WHICH IS A DIV OF 08/921,875 09/02/1997 PAT 6,033,506

## Foreign Applications

If Required, Foreign Filing License Granted 03/30/2000

## Title

Pitch-Based carbon foam heat sink with phase change material

## Preliminary Class

Data entry by : GREEN, TERESA

Team : OIPE

Date: 07/24/2000



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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**PLEASE NOTE the following information about the Filing Receipt:**

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- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
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Customer Service Center  
Washington, DC 20231**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: James W. Klett, et al.

DOCKET NO.: 0445.3  
*#9*

SERIAL NO.: 09/489,640

ART UNIT: 1771

FILED: January 24, 2000

EXAMINER:

TITLE: Pitch-Based Carbon Foam Heat Sink With Phase Change Material

**FIFTH REQUEST FOR CORRECTED FILING RECEIPT**

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*V.A.B.*

\_\_\_\_\_  
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Page 1 of 4 VAB

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04/15/3

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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J A Marasco  
Lockheed Martin Energy Research Corporation  
P O Box 2009  
Oak Ridge, TN 37831-8243

#### CORRECTED FILING RECEIPT



OC000000005467530

Date Mailed: 10/12/2000

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#### Preliminary Class

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The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

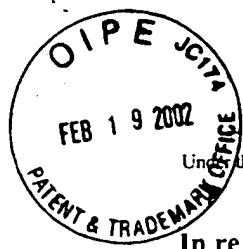
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FORM PTO-2053-B (REV. 11/2000)

Approved for use through xx/xx/xxxx. OMB 0651-0031  
U.S. Patent and Trademark Office: U. S. DEPARTMENT OF COMMERCE

In re Application of:

KLETT ET AL.

Application No.:

09/489,640

#13

Filing Date:

January 24, 2000

Title:

PITCH-BASED CARBON FOAM HEAT SINK

WITH PHASE CHANGE MATERIAL

Direct to:

~~Box Reconstruction~~

United States Patent and Trademark Office

Washington, DC 20231

### NOTICE UNDER 37 CFR 1.251 - Pending Application

#### Statement (check the appropriate box):

The copy submitted with this reply is a complete and accurate copy of applicant's record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and applicant for the above-identified application that is not among applicant's records.

The copy of the paper(s) listed in the notice under 37 CFR 1.251 is/are a complete and accurate copy of applicant's record of such paper(s).

The papers produced by applicant are applicant's complete record of all of the correspondence between the Office and the applicant for the above-identified application (except for U.S. patent documents), and applicant is not aware of any correspondence between the Office and the applicant for the above-identified application that is not among applicant's records.

Applicant does not possess any record of the correspondence between the Office and the applicant for the above-identified application.

01/30/02

Signature

Typed or printed name

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A copy of this notice should be returned with the reply.

Burden Hour Statement: This collection of information is required by 37 CFR 1.251. The information is used by the public to reply to a request for copies of correspondence between the applicant and the USPTO in order to reconstruct an application file. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 60 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.